

Please type a plus sign (+) in this box → ☐

11-28-01

PTO/SB/05 (1/88)

Approved for use through 9/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## UTILITY PATENT APPLICATION AND FEE TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

INCOMPLETE

Attorney Docket No. UNIV0130-110

Date: November 26, 2001

Inventor(s): **Mark E. Fauver, Eric J. Seibel, Chris Brown, Per G. Reinhall, and Quinn Y.J. Smithwick**

Title **MICRO-FABRICATED OPTICAL WAVEGUIDE FOR USE IN SCANNING FIBER DISPLAYS  
AND SCANNED FIBER IMAGE ACQUISITION**

FULL NAME OF 1<sup>ST</sup> NAMED INVENTOR: **Mark E. Fauver** COUNTRY OF CITIZENSHIP: **US**

RESIDENCE ADDRESS OF INVENTOR: **Seattle, WA**

FULL NAME OF 2<sup>ND</sup> NAMED INVENTOR: **Eric J. Seibel** COUNTRY OF CITIZENSHIP: **US**

RESIDENCE ADDRESS OF INVENTOR: **Seattle, WA**

FULL NAME OF 3<sup>RD</sup> NAMED INVENTOR: **Chris Brown** COUNTRY OF CITIZENSHIP: **US**

RESIDENCE ADDRESS OF INVENTOR: **Seattle, WA**

FULL NAME OF 4<sup>TH</sup> NAMED INVENTOR: **Per G. Reinhall** COUNTRY OF CITIZENSHIP: **US**

RESIDENCE ADDRESS OF INVENTOR: **Seattle, WA**

FULL NAME OF 5<sup>TH</sup> NAMED INVENTOR: **Quinn Y.J. Smithwick** COUNTRY OF CITIZENSHIP: **US**

RESIDENCE ADDRESS OF INVENTOR: **Kirkland, WA**

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal (BELOW)
2. ☒ Applicant(s) claims small entity status. See 37 C.F.R. § 1.27.
3. ☒ Specification [Total Pages 40]
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 11 (Figs 1-20B, one full set = 11 sheets)] [Formal Drawings— Figs 4-9 color drawings (3 sheets, in triplicate) 8 sheets black/white, 17 sheets total]
5. ☐ Oath or Declaration [Total Pages       ]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Item 5 below]
    - ii. **DELETION OF INVENTOR(S)** ☐ Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 C.F.R. § 1.76
7. ☐ CD-ROM or CD-R in duplicated, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on: ☐ i. CD-ROM or CD-R (2 copies); or ☐ ii. Paper
  - c. ☐ Statement verifying identity of above copies

### ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee)        Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449        Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be itemized specifically)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ NONPUBLICATION REQUEST: Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:
18. **If a CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:  
☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No: 09/850,594 filed 5/7/2001  
Prior application information: Examiner:        Group / Art Unit:

This application is based on a prior copending provisional application Serial No. 60/253,445, filed on November 27, 2000, the benefit of the filing date of which is hereby claimed under 35 U.S.C. § 119(e), and is a continuation-in-part of U.S. patent application Serial No. 09/850,594, filed May 7, 2001, the benefit of the filing date of which is hereby claimed under 35 U.S.C. § 120.

For CONTINUATION OR DIVISIONAL APPLICATIONS only: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

# 19. CORRESPONDENCE ADDRESS

Correspondence address below:

Ronald M. Anderson  
LAW OFFICES OF RONALD M. ANDERSON  
600 - 108th Avenue N.E., Suite 507  
Bellevue, WA 98004

Telephone: 425-688-8816

Facsimile: 425-646-6314

FEE TRANSMITTAL																																																			
METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																	
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number _____ Deposit Account Name: _____ <input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 & 1.17 <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance		3. <b>ADDITIONAL FEES</b> (Continued)																																																	
2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check (No. _____) <input type="checkbox"/> Money Order <input type="checkbox"/> Other <b>Payment NOT Enclosed</b>		<table border="1"> <thead> <tr> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>Extension for reply within first month</td><td></td></tr> <tr><td>Extension for reply within second month</td><td></td></tr> <tr><td>Extension for reply within third month</td><td></td></tr> <tr><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>Notice of Appeal</td><td></td></tr> <tr><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>Request for oral hearing</td><td></td></tr> <tr><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>Design issue fee</td><td></td></tr> <tr><td>Plant issue fee</td><td></td></tr> <tr><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>Submission of Information Disclosure Statement</td><td></td></tr> <tr><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>Submission after final rejection (37 C.F.R. 1.129(a))</td><td></td></tr> <tr><td>Add'l invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td>Other fee (specify)</td><td></td></tr> <tr> <td><b>SUBTOTAL (3)</b></td> <td><b>\$</b></td> </tr> </tbody> </table>		Fee Description	Fee Paid	Requesting publication of SIR after Examiner action		Extension for reply within first month		Extension for reply within second month		Extension for reply within third month		Extension for reply within fourth month		Extension for reply within fifth month		Notice of Appeal		Filing a brief in support of an appeal		Request for oral hearing		Petition to institute a public use proceeding		Petition to revive - unavoidable		Petition to revive - unintentional		Utility issue fee (or reissue)		Design issue fee		Plant issue fee		Petitions to the Commissioner		Petitions related to provisional applications		Submission of Information Disclosure Statement		Recording each patent assignment per property (times number of properties)		Submission after final rejection (37 C.F.R. 1.129(a))		Add'l invention to be examined (37 CFR 1.129(b))		Other fee (specify)		<b>SUBTOTAL (3)</b>	<b>\$</b>
Fee Description	Fee Paid																																																		
Requesting publication of SIR after Examiner action																																																			
Extension for reply within first month																																																			
Extension for reply within second month																																																			
Extension for reply within third month																																																			
Extension for reply within fourth month																																																			
Extension for reply within fifth month																																																			
Notice of Appeal																																																			
Filing a brief in support of an appeal																																																			
Request for oral hearing																																																			
Petition to institute a public use proceeding																																																			
Petition to revive - unavoidable																																																			
Petition to revive - unintentional																																																			
Utility issue fee (or reissue)																																																			
Design issue fee																																																			
Plant issue fee																																																			
Petitions to the Commissioner																																																			
Petitions related to provisional applications																																																			
Submission of Information Disclosure Statement																																																			
Recording each patent assignment per property (times number of properties)																																																			
Submission after final rejection (37 C.F.R. 1.129(a))																																																			
Add'l invention to be examined (37 CFR 1.129(b))																																																			
Other fee (specify)																																																			
<b>SUBTOTAL (3)</b>	<b>\$</b>																																																		
<b>FEE CALCULATION</b>																																																			
<b>1. BASIC FILING FEE</b>																																																			
Fee Description	Fee Paid																																																		
Utility filing fee	\$ 370																																																		
Design filing fee																																																			
Plant filing fee																																																			
Reissue filing fee																																																			
Provisional filing fee																																																			
<b>SUBTOTAL (1)</b>	<b>\$ 370</b>																																																		
<b>2. EXTRA CLAIM FEES</b>																																																			
Extra Claims	Fee from below	Fee Paid																																																	
Total Claims 45 - 20 = 25 x \$9	=	\$ 225																																																	
Independent Claims 7 - 3 = 4 x \$42	=	\$ 168																																																	
Multiple Dependent -0- x \$140	=	\$ -0-																																																	
<b>SUBTOTAL (2)</b>	<b>\$ 393</b>																																																		
<b>FEES (SUBTOTALS (1) &amp; (2)) \$ 763</b>																																																			
<b>3. ADDITIONAL FEES</b>																																																			
Surcharge - late filing fee or oath																																																			
Surcharge - late provisional filing fee or cover sheet																																																			
Non-English specification																																																			
Request for reexamination																																																			
Requesting publication of SIR after Examiner action																																																			
<b>TOTAL FEES ENCLOSED: \$ -0-</b>																																																			

Typed/Printed Name Ronald M. Anderson

Registration Number: 28,829

Signature

Ron Anderson

Date: November 26, 2001

## EXPRESS MAIL CERTIFICATE

Express Mail Label No. EL744182972US

Date of Deposit: November 26, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231-PS Box 2327,

Kathy L. Paulino  
(Name of person mailing paper/fee)

Kathy L. Paulino  
(Signature of person mailing paper or fee)